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NASA Procedural Requirements

NPR 8000.4
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COMPLIANCE IS MANDATORY

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Subject: Risk Management Procedural Requirements w/Change 1 (4/13/04)

Responsible Office: Office of Safety and Mission Assurance

APPENDIX C. Checklist for Assessment of Risk Management

This checklist is intended for the use of the NASA Independent Program Assessment Office (IPAO) at Langley Research Center, or Center Systems Management Offices (SMO), when assessing the RM activities conducted by program/project offices.

Risk Management Process

Does the program/project use a Continuous Risk Management process?

Was the Risk Management process originated during formulation?

Does the Risk Management process adequately address all risk management requirements as documented in the NASA FAR Supplement and NASA Directives (for example, NPR 7120.5, NPR 8000.4, NPR 2810.1, NPR 8715.3, etc.)?

Is RM a part of the normal business of program/project meetings? This is preferred as opposed to RM conducted in special, splinter meetings. Copies of program/project meeting minutes showing RM activities being conducted should be requested.

Are adequate resources applied to the Risk Management effort?

Risk Identification

How are risks identified?

Is the identification process effective?

Risk Analysis

How are risks analyzed? For example, does the project employ Fault Tree Analysis (FTA), Failure Modes and Effects Analysis (FMEA), or Probabilistic Risk Assessment (PRA)?

Is the analysis process effective?

Has each risk been assessed and quantified as to probability and consequences (including cost consequences)?

Are risks prioritized?

Are risks updated when a change in program phase occurs, or when significant changes in program scope, budget, or schedule occur?

Risk Planning

Has responsibility to address each risk been assigned to a person?

Have mitigation plans been prepared/implemented?

Have adequate resources been assigned for effective implementation of the risk mitigation plans?

Risk Tracking

How are risks and risk trends tracked?

Is the risk tracking effective?

Are all mitigated and monitored risks being regularly tracked to ascertain trends and ensure that trigger levels are not being exceeded?

Does the program/project maintain a risk profile such as that illustrated in paragraph 2.7.10 of this document? A copy should be requested.

Risk Control

Was the acceptance of primary risks accomplished early and with the concurrence of the GPMC? Are these considered open or closed?

Were all risks dispositioned prior to delivery?

Risk Documentation

Does the program/project have an RM Plan document signed by program/project management? A copy of the RM Plan should be requested.

Do the contents meet the intent of the requirements of paragraph 2.7.4 of NPR 8000.4?

Does the program/project have a Risk List? A copy should be requested of at least a sample of the list.

Is the Risk List easily accessible to program/project team members?

Are all risk acceptances documented in accordance with the requirements of NPR 8000.4?

Risk Communication

Are risks regularly presented by the program/project to the GPMC? Copies of representative presentations should be requested.

Is a system RM database used as a tool to provide current, up-to-date information to the program/project team and all involved parties?

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